



4 1600 Receipt
Patent
Attorney Docket No. 54615.8001.US02
F 02/09

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the U.S. Postal Service with sufficient postage as First Class Mail in an envelope addressed to: U.S. Patent and Trademark Office, P.O. Box 2327, Arlington, VA 22202 on:

Date: December 2, 2002

By: Muzali Grace

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

IN RE APPLICATION OF: CHADA, Kiran K. *et al.*

APPLICATION No.: 08/852,666

FILED: May 7, 1997

FOR: HMGI PROTEINS IN CANCER AND OBESITY

EXAMINER: KAM, CHIH MIN

ART UNIT: 1653

REQUEST FOR CORRECTED FILING RECEIPT

Box Sequence
U.S. Patent and Trademark Office
P.O. Box 2327
Arlington, VA 22202

Dear Sir:

Applicants respectfully request that a Corrected Filing Receipt issue for the above-referenced application. The Filing Receipt mailed by the U.S. Patent and Trademark Office on does not indicate the correct applicant information, priority data and title. Please correct the Filing Receipt to reflect the following:

Applicant(s)

Kiran K. Chada, North Brunswick, NJ; ...

Domestic Priority data as claimed by applicant

THIS APPLICATION IS A CONTINUATION-IN-PART OF 08/679,529
7/12/1996

The Declaration of Inventorship is submitted herewith in support of the correct Applicant's name. In addition, copies of the utility patent application transmittal and the first page of the specification as originally filed on May 7, 1997 are enclosed to show the correct priority claim.

A copy of the Filing Receipt with corrections marked in red is also enclosed for your convenience.

If you have any questions or comments, please do not hesitate to contact the undersigned.

Applicants believe that no fee is necessary at this time. However, if any fees are associated with this request, the Commissioner is authorized to charge the necessary amount from Deposit Account No. 50-0665.

Respectfully submitted,
Perkins Coie LLP

Dated: December 2, 2007

By: Lauren Sliger
Lauren Sliger
Registration No. 51,086



Perkins Coie LLP
Patent - LA
P.O. Box 1208
Seattle, WA 98111-1208
Phone: (310) 788-9900
Fax: (310) 788-3399

FILING RECEIPT
CORRECTED



UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark Office
ASSISTANT SECRETARY AND COMMISSIONER
OF PATENTS AND TRADEMARKS
Washington, D.C. 20231

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTORNEY DOCKET NO.	DRWGS	TOT CL	IND CL
08/852,666	05/07/97	1652	\$790.00	UMD-1.0-037C	14	40	6

RICHARD R MUCCINO
758 SPRINGFIELD AVENUE
SUMMIT NJ 07901

Receipt is acknowledged of this patent application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Application Processing Division's Customer Correction Branch within 10 days of receipt. Please provide a copy of the Filing Receipt with the changes noted thereon.

Applicant(s)

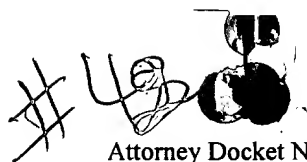
~~KIRAN~~
KIRAN K. CHADA, NORTH BRUNSWICK, NJ; HENA ASHAR, EDISON, NJ; ALEX TKACHENKO, NEW BRUNSWICK, NJ; XIANJIN ZHOU, PISCATAWAY, NJ.

FOREIGN FILING LICENSE GRANTED 08/21/97

* SMALL ENTITY *

TITLE
HNGI PROTEINS IN CANCER AND OBESITY

PRELIMINARY CLASS: 514



Patent

Attorney Docket No. 54615.8001.US02

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the U.S. Postal Service with sufficient postage as First Class Mail in an envelope addressed to: U.S. Patent and Trademark Office, P.O. Box 2327, Arlington, VA 22202 on:

Date: December 2, 2002

By: Migueli Grace

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

IN RE APPLICATION OF: CHADA, Kiran K. *et al.*

APPLICATION No.: 08/852,666

FILED: May 7, 1997

FOR: HMGI PROTEINS IN CANCER AND OBESITY

EXAMINER: KAM, CHIH MIN

ART UNIT: 1653

TRANSMITTAL OF SEQUENCE LISTING

Box Sequence
U.S. Patent and Trademark Office
P.O. Box 2327
Arlington, VA 22202

Dear Sir:

This Transmittal of Sequence Listing is in response to the **Notice to Comply with Requirements for Patent Applications Containing Nucleotide Sequence and/or Amino Acid Sequence Disclosures** (copy enclosed) mailed by the USPTO on November 5, 2002 for the above-identified application.

Enclosed in this transmittal are the following.

- Sequence Listing in paper form (8 pages);
- Sequence Listing in computer readable form (1 diskette);
- Statement of Sequence Listing;
- Amendment to add SEQ ID NOS. to specification
- Substitute drawings (14 sheets); and

- A Request for Corrected Filing Receipt to correct Applicant's name, with copies of marked filing receipt, Declaration of Inventorship signed by Applicants, utility patent application transmittal and first page of specification as filed.

This application is being timely filed within the time period of one (1) month from the mailing date of the communication, November 5, 2002. Therefore, no fee is believed to be due with this transmittal. However, if Applicants are mistaken, the Examiner is hereby authorized to charge any necessary fees to Deposit Account No. 50-0665.

Respectfully submitted,
Perkins Coie LLP

Dated: December 2, 2002

By: Lauren Sliger
Lauren Sliger
Registration No. 51,086



Perkins Coie LLP
Patent - LA
P.O. Box 1208
Seattle, WA 98111-1208
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Miyabi Grace
Assistant to Michael J. Wise
PHONE: 310.788.3251
FAX: 310.788.3399
EMAIL: MGrace@perkinscoie.com

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Coie

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www.perkinscoie.com

December 2, 2002

Roland A. Chouinard, Jr., Ph.D.
Chief Operating Officer
PMB 140
1308 Centennial Avenue
Piscataway, NJ 08854

Re: U.S. Patent Application 08/852,666
"HMGI Proteins in Cancer and Obesity" (CHADA, Kiran *et al.*)
Filing Date: May 7, 1997
UMDNJ Ref: RWJ-95-04
Our Ref: 54615.8001.US02

Dear Dr. Chouinard:

We have timely submitted today a response to the Notice to Comply with Sequence Listing dated November 5, 2002 for the above-captioned application.

Enclosed please find a copy of the Transmittal of Sequence Listing which included the sequence listing in paper and computer readable forms, substitute drawings and amendment to include SEQ ID NOS, and also a Request for Corrected Filing Receipt to correct the applicant's name and priority claim.

We will keep you informed of further developments concerning this matter as we are apprised.

Yours truly,

Miyabi Grace
Assistant to Michael J. Wise

Enclosures

cc: Margaret Mary Kozik Richardson, Esq.
Michael J. Wise

[54615-8001/LA023360.075]

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MENLO PARK · OLYMPIA · PORTLAND · SAN FRANCISCO · SEATTLE · SPOKANE · WASHINGTON, D.C.

Perkins Coie LLP (Perkins Coie LLC in Illinois)

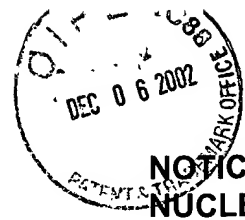


Please acknowledge receipt of the following by affixing hereon the Patent and Trademark Office date stamp and returning this card to our office.

Applicant: CHADA, Kiran K. *et al.*
Application No.: 08/852,666
For: HMGI Proteins in Cancer and Obesity
Filed: May 7, 1997

SEQUENCE LISTING

Attorney(s): Michael J. Wise; Lauren Sliger
Docket No.: 54615.8001.US02
Date of Deposit: December 2, 2002
Enclosure(s): 1) Transmittal of Sequence Listing; 2) copy of Notice to Comply with Sequence Requirement; 3) Statement of Sequence Listing; 4) paper form of sequence listing (8 pages); 5) computer readable form of sequence listing (1 diskette); 6) Amendment to add SEQ ID NOS; 7) Substitute drawings (14 sheets); and 8) Request for Corrected Filing Receipt with marked filing receipt and copies of Declaration, utility patent application transmittal and first page of specification as filed



Application No.: **08/852666**

**NOTICE TO COMPLY WITH REQUIREMENTS FOR PATENT APPLICATIONS CONTAINING
NUCLEOTIDE SEQUENCE AND/OR AMINO ACID SEQUENCE DISCLOSURES**

Applicant must file the items indicated below within the time period set the Office action to which the Notice is attached to avoid abandonment under 35 U.S.C. § 133 (extensions of time may be obtained under the provisions of 37 CFR 1.136(a)).

The nucleotide and/or amino acid sequence disclosure contained in this application does not comply with the requirements for such a disclosure as set forth in 37 C.F.R. 1.821 - 1.825 for the following reason(s):

- ☒ 1. This application clearly fails to comply with the requirements of 37 C.F.R. 1.821-1.825. Applicant's attention is directed to the final rulemaking notice published at 55 FR 18230 (May 1, 1990), and 1114 OG 29 (May 15, 1990). If the effective filing date is on or after July 1, 1998, see the final rulemaking notice published at 63 FR 29620 (June 1, 1998) and 1211 OG 82 (June 23, 1998).
- ☐ 2. This application does not contain, as a separate part of the disclosure on paper copy, a "Sequence Listing" as required by 37 C.F.R. 1.821(c).
- ☒ 3. A copy of the "Sequence Listing" in computer readable form has not been submitted as required by 37 C.F.R. 1.821(e).
- ☐ 4. A copy of the "Sequence Listing" in computer readable form has been submitted. However, the content of the computer readable form does not comply with the requirements of 37 C.F.R. 1.822 and/or 1.823, as indicated on the attached copy of the marked -up "Raw Sequence Listing."
- ☐ 5. The computer readable form that has been filed with this application has been found to be damaged and/or unreadable as indicated on the attached CRF Diskette Problem Report. A Substitute computer readable form must be submitted as required by 37 C.F.R. 1.825(d).
- ☐ 6. The paper copy of the "Sequence Listing" is not the same as the computer readable form of the "Sequence Listing" as required by 37 C.F.R. 1.821(e).
- ☒ 7. Other: Amino acid and nucleotide sequences cited in Figures 4 and 6 of the specification, however, no "SEQ ID NO:" of these sequences are provided in the sequence listing.

Applicant Must Provide:

- ☒ An initial or substitute computer readable form (CRF) copy of the "Sequence Listing".
- ☒ An initial or substitute paper copy of the "Sequence Listing", as well as an amendment directing its entry into the specification.
- ☒ A statement that the content of the paper and computer readable copies are the same and, where applicable, include no new matter, as required by 37 C.F.R. 1.821(e) or 1.821(f) or 1.821(g).

For questions regarding compliance to these requirements, please contact:

- For Rules Interpretation, call (703) 308-4216 or (703) 308-2923
- For CRF Submission Help, call (703) 308-4212
- For PatentIn software Program Support:
 - HELP DESK: (703) 739-8559, ext 508, M-F, 8 AM to 5 PM EST except holidays
 - Email: PATIN21HELP@uspto.gov
 - To purchase PatentIn software: (703) 306-2600

PLEASE RETURN A COPY OF THIS NOTICE WITH YOUR RESPONSE



UNITED STATES PATENT AND TRADEMARK OFFICE

DOCKETED

NOV 11 2002

UNITED STATES DEPARTMENT OF COMMERCE
 United States Patent and Trademark Office
 Address: COMMISSIONER OF PATENTS AND TRADEMARKS
 Washington, D.C. 20231
 www.uspto.gov

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
08/852,666	05/07/1997	KIRIN K. CHADA	UMD-1.0-037C	7255

34055 7590 11/05/2002

PERKINS COIE LLP
 POST OFFICE BOX 1208
 SEATTLE, WA 98111-1208

RECEIVED

NOV 09 2002

PERKINS COIE LLP

EXAMINER

KAM, CHIH MIN

ART UNIT

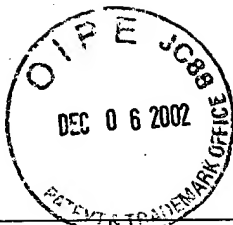
PAPER NUMBER

1653

DATE MAILED: 11/05/2002

40

Please find below and/or attached an Office communication concerning this application or proceeding.



**UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark Office**

Address: ASSISTANT COMMISSIONER FOR PATENTS

Washington, D.C. 20231

APPLICATION NO./ CONTROL NO.	FILING DATE	FIRST NAMED INVENTOR / PATENT IN REEXAMINATION	ATTORNEY DOCKET NO.
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EXAMINER

ART UNIT	PAPER
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40

DATE MAILED:

Please find below and/or attached an Office communication concerning this application or proceeding.

Commissioner of Patents and Trademarks

The communication filed October 30, 1997 is not fully responsive to the Office communication mailed August 25, 1997 for the reason(s) set forth on the attached Notice To Comply With The Sequence Rules. Applicant must comply with the requirements of the sequence rules (37 CFR 1.821 - 1.825) before the application can be examined under 35 U.S.C. §§ 131 and 132. The amendment filed August 15, 2002 (Paper No. 38) will be considered when the instant application complies with the sequence rule.

Since the above-mentioned reply appears to be bona fide attempt to comply with the requirements of the sequence rules (37 CFR 1.821 - 1.825), applicant is given a TIME PERIOD of ONE (1) MONTH from the mailing date of this communication within which to correct the deficiency so as to comply with the sequence rules (37 CFR 1.821 - 1.825) in order to avoid abandonment of the application under 37 CFR 1.821(g). EXTENSIONS OF THIS TIME PERIOD MAY BE GRANTED UNDER 37 CFR 1.136(a).

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Chih-Min Kam whose telephone number is (703) 308-9437. The examiner can normally be reached on 8:00-4:30 from Monday to Friday.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Christopher Low, can be reached on (703) 308-2923. The fax phone number for the organization where this application or proceeding is assigned is (703) 308-0294.

Any inquiry of a general nature or relating to the status of this application or proceeding should be directed to the receptionist whose telephone number is (703) 308-0196.

A reply to a notice to comply with the sequence rules should NOT be sent to the 20231 zip code address for the United States Patent and Trademark Office.

Please direct all replies to the United States Patent and Trademark Office via one (1) of the following:

1. Electronically submitted through EFS-Bio (<<http://www.uspto.gov/ebs/efs/downloads/documents.htm>>, EFS Submission User Manual - ePAVE)

2. Mailed to:

U.S. Patent and Trademark Office
Box Sequence, P.O. Box 2327
Arlington, VA 22202

3. Mailed by Federal Express, United Parcel Service or other delivery service to:

U. S. Patent and Trademark Office
2011 South Clark Place
Customer Window, Box Sequence
Crystal Plaza Two, Lobby, Room 1B03
Arlington, Virginia 22202



4. Hand Carried directly to the Customer Window at:
2011 South Clark Place
Crystal Plaza Two, Lobby, Room 1B03, Box Sequence,
Arlington, Virginia 22202

Chih-Min Kam, Ph.D.
November 4, 2002

C17K

Christopher S. F. Low

CHRISTOPHER S. F. LOW
SUPERVISORY PATENT EXAMINER
TECHNOLOGY CENTER 1600



Attorney Docket No. UMD 1.0-037CIP

RICHARD R. MUCCINO
758 Springfield Avenue
Summit, New Jersey 07901

(908) 273-4988
TELECOPIER: (908) 273-4679

EXPRESS MAIL

PATENT
7 May 1997

Honorable Commissioner
of Patents and Trademarks
Washington, D.C. 20231

Re: NEW APPLICATION TRANSMITTAL

Dear Sir

Enclosed please find the patent application of:

Inventor(s): Kirin K. Chada, Hena Ashar, Alex Tkachenko, and Xianjin Zhou

For (Title): **HMGI PROTEINS IN CANCER AND OBESITY**

This new application is for a(n)

- ☐ Original.
☐ Design.
☐ Divisional.
☐ Continuation.
☒ Continuation-in-part (CIP).

CERTIFICATION UNDER 37 C.F.R. SECTION 1.10

"Express Mail" mailing label number EI360030087 US

Date of Deposit 7 May 1997

I hereby certify that this New Application Transmittal, and the documents referred to as enclosed, are being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service pursuant to 37 C.F.R. Section 1.10 on the date set out above and is addressed to the: Commissioner of Patents and Trademarks, Washington, D.C. 20231.

Richard R. Muccino

(typed name of person mailing papers)

Richard R. Muccino

(signature of person mailing papers)

the specification of which:

 X is attached hereto.

 was filed on as Application Serial No.

 and was amended on . (if applicable)

 was described and claimed in

International Appln. No. ,

filed on ,

and was amended on .

2. **BENEFIT OF PRIOR U.S. APPLICATION(S)**
(35 U.S.C. SECTION 120)

 The new application being transmitted is a

 continuation
 X continuation-in-part
 divisional

of copending United States application(s)

 X serial no. 08/679,529, filed 12 July 1996.

and claims the benefit of the earlier filing date of the prior U.S. application(s) pursuant to 35 U.S.C. Section 120.

 Please abandon the prior U.S. application(s) referred to above at a time while the prior application is pending or when the petition for extension of time in that application is granted and when this application is granted a filing date so as to make this application copending with the prior application.

 X Please do not abandon the prior U.S. application(s) referred to above at this time.

3. **ENCLOSED ARE THE FOLLOWING DOCUMENTS REQUIRED**
FOR FILING DATE UNDER 37 C.F.R. SECTION 1.53(b) (REGULAR) OR
37 C.F.R. SECTION 1.153 (DESIGN) APPLICATION

 63 Pages of Specification.
 5 Page(s) of Claims.
 1 Page(s) of Abstract.
 14 Sheet(s) of Drawings, which are
 formal X informal.

4. **ADDITIONAL PAPERS ENCLOSED**

_____ A preliminary amendment under 37 C.F.R. Section 1.111 is attached.

_____ Please amend the specification by inserting before the first line the sentence:

This application is a _____ continuation
_____ continuation-in-part
_____ divisional
of copending U.S. application serial no. .

_____ Prior to calculating the filing fee, please amend the claims by deleting claims _____.

- _____ Information Disclosure Statement.
- _____ Form PTO-1449.
- _____ References.
- _____ Declaration of Biological Deposit.
- _____ Special Comments.
- _____ Assignment.
- _____ Small Entity Statement.
- ☒ Express Mail Certification (part of this transmittal letter).
- ☒ Two (2) stamped return-addressed postcards.
- ☒ Check in the amount of \$ 725.00 calculated as set forth below.
- _____ Other.

5. **DECLARATION AND POWER OF ATTORNEY**

☒ Enclosed.

Executed by

_____ Inventor(s).
_____ Legal Representatives of inventor(s). 37 C.F.R. 1.42 or 1.43.
_____ Joint inventor or person showing a proprietary interest on behalf of inventor who refused to sign or cannot be reached.
_____ this is the petition required by 37 C.F.R. Section 1.47 and the statement required by 37 C.F.R. Section 1.47 is also attached.

☒ Unexecuted.

_____ This application is made by a person authorized under 37 C.F.R. Section 1.41(c) on behalf of all of the above-named inventors. The declaration or oath and Power of Attorney, along with the surcharge required by 37 C.F.R. Section 1.16(e) can be filed subsequently.

_____ Showing that the filing is authorized.

6. **INVENTORSHIP STATEMENT**

The inventorship for all the claims in this application are:

☒ The same.
☐ Are not the same. An explanation, including the ownership of the various claims at the time the last claimed invention was made, _____ is submitted.
_____ will be submitted.

7. **Language**

☒ English.
☐ Non-English.
The attached translation is a verified translation.
37 C.F.R. Section 1.52(d).

8. **ASSIGNMENT**

☒ An assignment of the invention to:

University of Medicine & Dentistry of New Jersey, a corporation of the State of New Jersey having a place of business at 110 Administration Complex, 30 Bergen Street, University Heights, Newark, New Jersey 07107-3000.

_____ Is enclosed (stapled to a copy of this letter).
☒ Will follow.

9. **CERTIFIED COPY**

Certified copy(ies) of application(s)

(country)	(appln. no.)	(filed)
(country)	(appln. no.)	(filed)
(country)	(appln. no.)	(filed)

from which priority is claimed under 35 U.S.C. 119

_____ is(are) attached.
_____ will follow.

10. **FILING FEE CALCULATION**

A. X REGULAR APPLICATION.

Claims as filed				
	Number Filed	Number Extra	Rate	Fee
Basic Fee				\$ 770.00
Total Claims	40	- 20 = <u> 20 </u>	x \$22.00 =	\$ 440.00
Independent Claims	6	- 3 = <u> 3 </u>	x \$80.00 =	\$ 240.00
Multiple dependent claim(s), if any \$230.00				\$ --0---
TOTAL FEE				\$ 1450.00

 Amendment cancelling extra claims is enclosed.
 Amendment deleting multiple dependencies is enclosed.
 Fee for extra claims is not being paid at this time.

B. Design Application.
(\$140.00 - 37 C.F.R. Section 1.16(f))

11. **SMALL ENTITY STATEMENT(S)**

 X Verified Statement(s) that this is a filing by a small entity under
37 C.F.R. Sections 1.9 and 1.27 is(are) attached.

 is(are) attached.
 X will follow.

Filing Fee Calculation
(50% of A or B above).

\$ 725.00

12. FEE PAYMENT BEING MADE AT THIS TIME

- ☐ No filing fee is enclosed.
- ☒ The filing fee is enclosed.
- ☒ Basic filing fee. \$ 725.00
- ☐ Recording Assignment.
(\$40.00; 37 C.F.R. Section 1.21(h)(1)) \$ _____
- ☐ Petition fee for filing by other
than all the inventors or person
on behalf of the inventor where
inventor refused or cannot be
reached. (\$140.00;
37 C.F.R. Sections 1.47 and 1.17(h)). \$ _____
- ☐ For Processing an application with a
specification in non-English language.
((\$26.00; 37 C.F.R. Sections 1.52(d)
and 1.17(k)). \$ _____
- ☐ Processing and retention fee.
(\$100.00; 37 C.F.R. Sections 1.53(d)
and 1.21(l)). \$ _____

TOTAL FEES ENCLOSED \$ 725.00

13. METHOD OF PAYMENT OF FEES

- ☒ Check in the amount of \$ 725.00 is enclosed.
- ☐ Charge Deposit Account 13-4822 in the amount of \$ -----.

14. AUTHORIZATION TO CHARGE ADDITIONAL FEES


☒ The Commissioner is hereby authorized to charge all fees required during the entire pendency of this application except the issue fee to Deposit Account 13-4822.

15. INSTRUCTIONS REGARDING OVERPAYMENT

☒ Credit any overpayment to Deposit Account 13-4822.

☐ Refund.

(A duplicate of this transmittal letter is attached.)



RICHARD R. MUCCINO
Attorney For Applicant(s)
Registration Number 32,538

Please forward correspondence to:

Richard R. Muccino
758 Springfield Avenue
Summit, New Jersey 07901
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Fax (908) 273-4679
Enclosures